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| FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT | | ATTY. DOCKET NO. 1136.0020002 | APPLICATION NO. 08/849,117 |
| | | APPLICANTS Hallenbeck et al. | |
| | | FILING DATE May 28, 1997 | GROUP To be assigned 1633 |
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U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
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| DM | AL2 | WO 95/12660 | 05/11/1995 | PCT WIPO | | | Yes No |
| | AM2 | | | | | | Yes No |
| | AN2 | | | | | | Yes No |
| | AO2 | | | | | | Yes No |
| | AP2 | | | | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| DM | AR | 2 | Chellappan, S. et al., "Adenovirus E14, simian virus 40 tumor antigen, and human papillomavirus E7 protein share the capacity to disrupt the interaction between transcription factor E2F and the retinoblastoma gene product," Proc. Natl. Acad. Sci. USA 89:4549-4553 (1992). |
| | AS | 2 | Chen, S.-H. et al., "Gene therapy for brain tumors: Regression of experimental gliomas by adenovirus-mediated gene transfer <i>in vivo</i> ," Proc. Natl. Acad. Sci. USA 91:3054-3057 (April 1994). |
| | AT | 2 | Coghlan, A., "Gene dream fades away," New Scientist 145:14-15 (November 1995). |

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| | AL3 | | | | | | Yes No |
| | AM3 | | | | | | Yes No |
| | AN3 | | | | | | Yes No |
| | AO3 | | | | | | Yes No |
| | AP3 | | | | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| <i>DR</i> | AR | 3 | Cornelis, J.J. et al., "Transformation of Human Fibroblasts by Ionizing Radiation, a Chemical Carcinogen, or Simian Virus 40 Correlates with an Increase in Susceptibility to the Autonomous Parvoviruses H-1 Virus and Minute Virus of Mice," <i>J. Virol.</i> 62(5):1679-1686 (1988). |
| | AS | 3 | Crystal, R.G., "Transfer of Genes to Humans: Early Lessons and Obstacles to Success," <i>Science</i> 270:404-410 (October 1995). |
| | AT | 3 | Culver, K.W. et al., "In Vivo Gene Transfer with Retroviral Vector-Producer Cells for Treatment of Experimental Brain Tumors," <i>Science</i> 256:1550-1552 (1992). |

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| DM | AA1 | 5,416,017 | 05/16/1995 | Burton et al. | 435 | 240-2 325 | 03/25/1993 |
| U | AB1 | 5,436,146 | 07/25/1995 | Shenk et al. | 435 | 472-3 455 | 01/21/1993 |
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| | AL1 | WO 90/05180 | 05/17/1990 | PCT WIPO | | | Yes No |
| | AM1 | EP 0 415 731 A3 | 03/06/1991 | Europe | | | Yes No |
| | AN1 | WO 93/09239 | 05/13/1993 | PCT WIPO | | | Yes No |
| | AO1 | WO 94/18992 | 09/01/1994 | PCT WIPO | | | Yes No |
| | AP1 | WO 95/11984 | 05/04/1995 | PCT WIPO | | | Yes No |

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| DR | AR | 1 | Babiss, L.E. et al., "Cellular Promoters Incorporated into the Adenovirus Genome: Effect of Viral DNA Replication on Endogenous and Exogenous Gene Transcription," J. Mol. Biol. 193:643-650 (1987). |
| | AS | 1 | Blaese, R.M. et al., "In situ Delivery of Suicide Genes for Cancer Treatment," Eur. J. Cancer 30A(8):1190-1193 (August 1994). |
| | AT | 1 | Brown, D., "Gene Therapy 'Oversold' by Researchers, Journalists," The Washington Post, p. A22, December 8, 1995. |

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| <i>DTW</i> | AR | 4 | Dillon, N., "Regulating gene expression in gene therapy," <i>TIBTECH</i> 11:167-173 (May 1993). |
| <i>V</i> | AS | 4 | Dooley, T.P. et al., "Transactivation of the adenovirus E1A promoter in the absence of adenovirus E1A protein is restricted to mouse oocytes and preimplantation embryos," <i>Development</i> 107:945-956 (1989). |
| <i>V</i> | AT | 4 | Dynan, W.S., "Modularity in Promoters and Enhancers," <i>Cell</i> 58:1-4 (1989). |
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| | AL | | | | | | Yes No |
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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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|----|----|---|---|
| DR | AR | 5 | Fattaey, A. et al., "Replication of Adenovirus Mutants in Human Cancer Cells," Abstracts of papers presented at the 1994 meeting on Molecular Biology of Papovaviruses and Adenoviruses, August 17-August 21, 1994, Cold Spring Laboratory, Cold Spring Harbor, New York. |
| | AS | 5 | Friedman, J.M. et al., "Cellular Promoters Incorporated into the Adenovirus Genome: Cell Specificity of Albumin and Immunoglobulin Expression," Molec. Cell. Biol. 6(11):3791-3797 (1986). |
| | AT | 5 | Fujiwara, T. et al., "A Retroviral Wild-type p53 Expression Vector Penetrates Human Lung Cancer Spheroids and Inhibits Growth by Inducing Apoptosis," Canc. Res. 53:4129-4133 (September 1993). |

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| DR | AR | 6 | Gerard, R.D. and Meidell, R.S., "Adenovirus-Mediated Gene Transfer," TCM 3(5):171-177 (May 1993). |
| | AS | 6 | Gordon, E.M. and Anderson, W.F., "Gene therapy using retroviral vectors," Curr. Op. Biotechnol. 5:611-616 (December 1994). |
| | AT | 6 | Graham, F.L., "Growth of 293 Cells in Suspension Culture," J. Gen. Virol. 68:937-940 (1987). |

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| <i>DR</i> | AR | Z | Günzburg, W.H. and Salmons, B., "Mouse Mammary Tumor Virus Mediated Transfer and Expression of Neomycin Resistance to Infected Cultured Cells," <i>Virology</i> 155:236-248 (1986). |
| <i>J</i> | AS | Z | Günzburg, W.H. and Salmons, B., "Virus vector design in gene therapy," <i>Molec. Med. Today</i> 1(9):410-417 (December 1995). |
| <i>AT</i> | AT | Z | Harris, J.D. et al., "Gene therapy for cancer using tumour-specific prodrug activation," <i>Gene Therapy</i> 1:170-175 (May 1994). |

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| <i>Du</i> | AR | 8 | Hitt, M.M. and Graham, F.L., Adenovirus E1A under the Control of Heterologous Promoters: Wide Variation in E1A Expression Levels Has Little Effect on Virus Replication," <i>Virology</i> 179:667-678 (1990). |
| <i>J</i> | AS | 8 | Horvath, J. et al., "Complementation of Adenovirus Early Region 1a and 2a Mutants by Epstein-Barr Virus Immortalized Lymphoblastoid Cell Lines," <i>Virology</i> 184:141-148 (1991). |
| <i>DU</i> | AT | 8 | Horwitz, M.S., "Adenoviral Diseases," in <i>Virology</i> , Fields, B.N. et al., eds., Raven Press, New York, pp. 477-495 (1985). |

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| <i>Dm</i> | AR | 2 | Huber, B.E. et al., "Retroviral-mediated gene therapy for the treatment of hepatocellular carcinoma: An innovative approach for cancer therapy," Proc. Natl. Acad. Sci. USA 88:8039-8043 (1991). |
| | AS | 2 | Imperiale, M.J. et al., "Common control of the Heat Shock Gene and Early Adenovirus Genes: Evidence for a Cellular E1A-like Activity," Molec. Cell. Biol. 4(5):867-874 (1984). |
| | AT | 2 | Kaneko, S. et al., "Adenovirus-mediated Gene Therapy of Hepatocellular Carcinoma Using Cancer-specific Gene Expression," Canc. Res. 55:5283-5287 (November 1995). |
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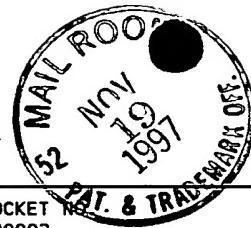
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| <i>DN</i> | AR | 10 | La Thangue, N.B. and Rigby P.W.J., "An Adenovirus E1A-Like Transcription Factor Is Regulated during the Differentiation of Murine Embryonal Carcinoma Stem Cells," <i>Cell</i> 49:507-513 (1987). |
| <i>U</i> | AS | 10 | Ledley, F., "Nonviral Gene Therapy: The Promise of Genes as Pharmaceutical Products," <i>Hum. Gene Ther.</i> 6:1129-1144 (September 1995). |
| <i>U</i> | AT | 10 | Lewin, B., "Oncogenic Conversion by Regulatory Changes in Transcription Factors," <i>Cell</i> 64:303-312 (1991). |

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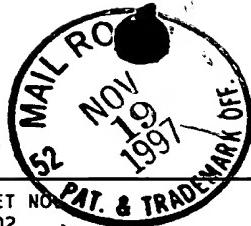
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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| <i>M</i> | AR | 11 | Manome, Y. et al., "Enhancer Sequences of the DF3 Gene Regulate Expression of the Herpes Simplex Virus Thymidine Kinase Gene and Confer Sensitivity of Human Breast Cancer Cells to Ganciclovir," <i>Canc. Res.</i> 54:5408-5413 (October 1994). |
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| <i>V</i> | AT | 11 | Missero, C. et al., "Skin-specific Expression of a Truncated E1a Oncoprotein Binding to p105-Rb Leads to Abnormal Hair Follicle Maturation Without Increased Epidermal Proliferation," <i>J. Cell Biol.</i> 121:1109-1120 (June 1993). |

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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



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| FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT | | ATTY. DOCKET NO. 1136.0020002 | | APPLICATION NO. 08/849,117 |
| | | APPLICANTS Hallenbeck et al. | | |
| | | FILING DATE May 28, 1997 | GROUP To-be-assigned 1633 | |

U.S. PATENT DOCUMENTS

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| <i>DR</i> | AR | 12 | Moran, E., "Interaction of adenoviral proteins with pRB and p53," FASEB J. 7:880-885 (July 1993). |
| <i>J</i> | AS | 12 | Mulligan, R.C., "The Basic Science of Gene Therapy," Science 260:926-931 (May 1993). |
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| Dr | AR | 13 | Ohno, T. et al., "Gene Therapy for Vascular Smooth Muscle Cell Proliferation After Arterial Injury," <i>Science</i> 265:781-784 (August 1994). |
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| <i>DR</i> | AR | 14 | Osaki, T. et al., "Gene Therapy for Carcinoembryonic Antigen-producing Human Lung Cancer Cells by Cell Type-specific Expression of Herpes Simplex Virus Thymidine Kinase Gene," <i>Canc. Res.</i> 54:5258-5261 (October 1994). |
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| | | FILING DATE May 28, 1997 | GROUP To be assigned 1633 | | |

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| FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT | | ATTY. DOCKET NO. 1136.0020002 | | APPLICATION NO. 08/849,117 | | |
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| DR | AR | 17 | Shimizu, E. et al., "RB protein status and clinical correlation from 171 cell lines representing lung cancer, extrapulmonary small cell carcinoma, and mesothelioma," <i>Oncogene</i> 9:2441-2448 (September 1994). |
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| FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT | | ATTY. DOCKET NO. 1136.0020002 | APPLICATION NO. 08/849,117 |
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| <i>DR</i> | AR | 18 | Spergel, J.M. and Chen-Kiang, S., "Interleukin 6 enhances a cellular activity that functionally substitutes for E1A protein in transactivation," Proc. Natl. Acad. Sci. USA 88:6472-6476 (1991). |
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| <i>V</i> | AT | 18 | Stratford-Perricaudet, L. and Perricaudet, M., "Gene transfer into animals: the promise of adenovirus," Human Gene Transfer 219:51-61 (1991). |
| EXAMINER | <i>Dan</i> | | |

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| FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT | | ATTY. DOCKET NO. <i>PADEMARMK 001</i> 1136.0020002 | APPLICATION NO. 08/849,117 |
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| <i>Dr</i> | AR | 19 | Vile, R.G. and Hart, I.R., "Use of Tissue-specific Expression of the Herpes Simplex Virus Thymidine Kinase Gene to Inhibit Growth of Established Murine Melanomas following Direct Intratumoral Injection of DNA," <i>Canc. Res.</i> 53:3860-3864 (September 1993). |
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| FORM PTO-1449 <u>INFORMATION DISCLOSURE STATEMENT</u> | | ATTY. DOCKET NO. 1136.0020002 | APPLICATION NO. 10/839,117 |
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| <i>Dm</i> | AR | 20 | Vile, R., "Direct Gene Transfer to Tumour Cells In Vivo," <i>Gene Therapy</i> 1(Supp. 2):S6 Abstract A23 (November 1994). |
| <i>J</i> | AS | 20 | Yang, Y. et al., "MHC Class I-Restricted Cytotoxic T Lymphocytes to Viral Antigens Destroy Hepatocytes in Mice Infected with E1-Deleted Recombinant Adenoviruses," <i>Immunity</i> 1:433-442 (August 1994). |
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